

APPENDIX A TO PART 145—COMPILATION  
OF COMMISSION RECORDS AVAILABLE  
TO THE PUBLIC

The following documents are available, upon request, directly from the office indicated. Unless otherwise noted, the mailing address for the Commission offices listed below is Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.

- (a) *Office of External Affairs*. (1) Commitments of Traders Reports.
- (2) Weekly Advisory (solely available on the Commission's Web site at <http://www.cftc.gov/cftc/cftcpressoffice.htm>).
- (3) Studies Prepared by Commission staff.
- (4) Educational material (*e.g.*, newsletters, brochures, annual reports, conference or advisory meetings, technical information about specific markets or contracts).
- (5) Press releases.
- (6) Rule enforcement and financial reviews (public version).
- (7) CFTC litigation documents (*e.g.* administrative and civil complaints, injunctions, initial decisions, opinions and orders).
- (8) Commission rules and regulations, FEDERAL REGISTER notices, interpretative letters.
- (9) Speeches, Commissioner biographies and photographs.
- (10) Statistical data concerning the Commission's budget.
- (11) Statistical data concerning specific contracts and markets.
- (b) *Office of the Secretariat (Public reading area with copying facilities available)*. (1) Comment letters and CFTC summaries of comment letters.
- (2) Terms and conditions of proposed contracts.
- (3) Registered entity filings relating to rules as defined in §40.1 of this chapter, unless covered by a request for confidential treatment.
- (4) National Futures Association (NFA) rule amendments.
- (5) Exchange and NFA disciplinary action notifications.
- (6) Open Commission meeting minutes.
- (7) Sunshine certificates for closed Commission meetings.
- (8) CFTC Advisory Committee final reports.
- (9) Opinions and orders of the Commission.
- (10) Reparations orders and enforcement orders index.
- (11) Rulemaking index.
- (12) Exchange membership notification.
- (13) Publicly available portions of applications to become a registered entity including the transmittal letter, proposed rules, proposed bylaws, corporate documents, any overview or similar summary provided by the applicant, any documents pertaining to the applicant's legal status and governance structure, including governance fitness in-

formation, and any other part of the application not covered by a request for confidential treatment.

- (c) *Office of Proceedings*. (1) Documents contained in reparations and enforcement cases, unless subject to protective order.
- (2) Complaint packages, which contain the Reparation Rules, Brochure "Questions and Answers About How You Can Resolve a Commodity-Market Related Dispute," and the complaint form.
- (3) Rules of Practice concerning administrative enforcement proceedings.
- (d) *Executive Director, Administrative Services Section*. Information Collection requests submitted to the Office of Management and Budget relating to requirements under the Paperwork Reduction Act of 1980, Pub. L. 96-511.

(e) *Division of Market Oversight*. (1) Weekly stocks of grain reports.

(2) Weekly cotton or call reports.

(f) *Division of Enforcement*. Complaint package containing Division of Enforcement Questionnaire and list of federal, state and local enforcement authorities.

(g) *Division of Clearing and Intermediary Oversight*. Publicly available portions of registration documents are available from the National Futures Association, 200 West Madison Street, Chicago, Illinois 60606. See Commission Rule 145.6.

[51 FR 26874, July 28, 1986, as amended at 57 FR 29203, July 1, 1992; 59 FR 5528, Feb. 7, 1994; 60 FR 49335, Sept. 25, 1995; 64 FR 27, Jan. 4, 1999; 67 FR 62353, Oct. 7, 2002; 67 FR 63539, Oct. 15, 2002; 69 FR 67507, Nov. 18, 2004]

APPENDIX B TO PART 145—SCHEDULE OF  
FEES

(a) *Charges for requests*. The following charges may be made where applicable for responding to requests for records.

(1) \$4.75 for each quarter hour spent by clerical personnel in searching for or reviewing records.

(2) When a search or review cannot be performed by clerical personnel, \$10.25 for each quarter hour spent by professional personnel in searching or reviewing records.

(3) When searches require the expertise of a computer specialist, staff time for programming and performing searches will be charged at \$10.25 per quarter hour. For searches of records stored on personal computers used as workstations by Commission staff and shared access network servers, the computer processing time is included in the search time for the staff member using the workstation as set forth in paragraph (a) of this appendix.

(4) Document duplication, including computer printouts, will be charged at \$0.15 per page.

(5) For copies of materials other than paper records, the requester will be charged

the actual cost of materials and reproduction, including the time of clerical personnel at a rate of \$4.75 per quarter hour.

(6) When a request has been made and granted to examine Commission records at an office of the Commission other than the office in which the records are routinely maintained, the requester:

(i) Will reimburse the Commission for the actual cost of transporting the records; and  
(ii) Will be charged at a rate of \$4.75 for each quarter hour spent by clerical personnel in preparing the records for transit.

(7) For certifying that requested records are true copies, the charge will be \$3.00 per certification.

(8) Upon request, records will be mailed by means of overnight or express mail at the fee of \$10.00 per package mailed.

(b) *Waiver or reduction of fees.* Fees will be waived or reduced by the Commission if:

(1) The fee is less than or equal to \$10.00, the approximate cost to the Commission of collecting the fee; or,

(2) If the Commission determines that the disclosure of the information is likely to contribute significantly to public understanding of the operations or activities of the government and is not primarily in the commercial interest of the requester.

(c) *Applicability of fees.* Fees shall be charged even if no records are ultimately furnished to the requester. Fees apply to various types of requests as follows.

(1) *Commercial use request.* Fees for search time, review time and duplication of records will be charged to requests from or on behalf of one who seeks information for a user or purpose that furthers the commercial, trade or profit interests of the requester or the person on whose behalf the request is made.

(2) *Educational institution or noncommercial scientific institution.* Only duplication fees will be charged to schools or to organizations which operate solely for the purpose of scientific research, the results of which are not intended to promote any particular product or industry. No charge will be made for the first 100 pages duplicated or for search or review time.

(3) *Representative of the news media.* Only duplication fees will be charged to any person actively gathering news for an entity that is organized and operated to publish or broadcast news to the public. No charge will be made for the first 100 pages duplicated or for search or review time.

(4) *Other requesters.* Fees for search time and duplication will be charged to requesters who are not covered by one of the categories above. No charge will be made for the first two hours of search time, the first 100 pages of duplication, or for review time. If the search is for records stored in a computer format, a combination of computer operation charges and search time charges will

be waived up to the equivalent of two hours of professional search time.

(d) *Aggregation of requests.* For purposes of determining fees, the Commission may aggregate reasonably related requests if multiple requests are made within a 30-day period or if there is a solid basis for believing that multiple requests were made solely to avoid fees.

(e) *Notification of fees.* A request for Commission records may state that the party is willing to pay fees up to a stated limit for services to be provided in searching, reviewing and duplicating requested records. If such a statement is made, no work will be done that will result in fees beyond the stated limit without written authorization. If no limit is stated, no work will be done that will result in fees in excess of \$25.00 without written authorization from the requester.

(f) *Advance payment of fees.* The Commission may request advance payment of all or part of the fee (i) when fees are expected to exceed \$250; or (ii) when a requester has previously failed to pay fees in a timely fashion.

(g) *Payment of fees.* Payment should be made by check or money order payable to the Commodity Futures Trading Commission.

(h) *Interest on fees.* The Commission will begin charging interest on unpaid bills starting on the 31st day following the day on which the bill was sent. Interest will be at the rate prescribed in 31 U.S.C. 3717.

(i) *Collection of fees.* If fees not paid, the Commission may disclose debts to appropriate authorities for collection or to consumer reporting agencies.

[52 FR 19308, May 22, 1987, as amended at 64 FR 27, Jan. 4, 1999; 69 FR 67507, Nov. 18, 2004]

#### APPENDIX C TO PART 145 [RESERVED]

### PART 146—RECORDS MAINTAINED ON INDIVIDUALS

#### Sec.

146.1 Purpose and scope.

146.2 Definitions.

146.3 Requests by an individual for information or access.

146.4 Procedures for identifying the individual making the request.

146.5 Disclosure of requested information to individuals; fees for copies of records.

146.6 Disclosure to third parties.

146.7 Content of systems of records.

146.8 Amendment of a record.

146.9 Appeals to the Commission.

146.10 Information supplied by the Commission when collecting information from an individual.

146.11 Public notice of records systems.

146.12 Exemptions.

146.13 Inspector General exemptions.